

**NORTHERN PLAINS AREA**  
Policy Memorandum

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| <b>DATE:</b>           | April 7, 2006  |
| <b>SUBJECT:</b>        | ARS-425, Authorization to Apply For and Use Funds from Outside Sources |
| <b>NUMBER:</b>         | PM-06-003  |
| <b>EFFECTIVE DATE:</b> | April 7, 2006 (Supersedes PM-01-0004, issued October 12, 2001)         |

**1. Purpose**

The Form ARS-425 (Authorization to Apply For and Use Funds from Outside Sources), is used to document cooperative and/or collaborative research efforts, whether coded as Research, No Funds to ARS or when receiving funds in support of ARS research programs. The Area policy and procedures for the submission and approval of outside cooperation and/or collaboration activities, including competitive grant proposals and/or Trust/Reimbursable Cooperative Agreements, are outlined below.

- The NPA encourages scientists to submit competitive grant proposals of high quality and merit that support the mission of ARS, add value to the research program, and will supplement without detracting from the programs of the scientist and the Research Unit performing the work.
- Scientists are also encouraged to engage in partnerships with minority and underserved organizations and institutions that will strengthen their relationships through the exchange of research ideas and techniques and enhance communication and interaction.

**2. Benefits**

The Area Office will utilize the ARS-425 report features now available in ARIS to generate information and data on outside cooperation and/or collaboration efforts with Historically Black Colleges and Universities, Hispanic Serving Institutions, Tribal Colleges and Institutes, county and state agencies, 1890 Institutions, etc., thereby reducing the impact on the Location/Unit in preparing responses to these types of reports.

The Area Office will be able to generate the information for various data calls, such as the Civil Rights/EEO quarterly reports, by having the research units expand upon the information entered into the ARS-425 section in ARIS.

**3. Changes in the ARS-425 submission process**

- Research cooperation/collaboration actions will be entered via the ARS-425 to document relationships with Historically Black Colleges and Universities, Hispanic Serving Institutions, Tribal Colleges and Institutes; and county and state agencies.
- Proposed research cooperation/collaboration with the above entities can be coded as Research, No Funds to ARS, when the ARS scientist is acting in an advisory or project consultation role, providing technical assistance, or promoting institutional partnerships.
- Trust Fund and/or Reimbursable Cooperative Agreements (including Interagency Reimbursable Agreements), CRADAs, 1890 Capacity Building Grant Program, and the competitive grant proposals (NRI/CSREES, NSF, etc.), will continue to require an ARS-425.

#### 4. **Requirements for Submission of an ARS-425**

##### **1890 Capacity Building Grant Program (CBGP) proposals:**

- Require an ARS-425 identifying the Original Source of Funds as the 1890 CBGP (ARIS code 3404), the Direct Source of Funds code will identify the University partner, and the Summary of USDA/1890 Cooperation form must be forwarded to the Extramural Agreements Section in order to obtain the signature of the Area Director. See the attached list for qualified 1890 universities and institutions.

##### **Cooperation/collaboration with Historically Black Colleges and Universities, Hispanic Serving Institutions, Tribal Colleges and Institutes, and county and state agencies:**

- ARS-425 submissions must be entered to document a cooperative/collaborative relationship with these entities and will **not** require any additional documentation or paperwork be submitted to the Area Director. See the attached lists for qualified colleges and universities.
- The ARS-425 will be used by Area Office personnel to generate information for various data calls, such as the Civil Rights/EEO quarterly reports.

##### **Competitive Grant Proposals (CSREES, NRI/CGP, NSF, etc.):**

- All proposals for competitive grants must be forwarded to the Area Director for review and approval prior to submission to the granting organization or agency. Please refer to Policy and Procedure (P&P) 321.1, Acceptance of Non-Appropriated Funds to Conduct Research and Perform Services, and P&P 324.0, ARS Reimbursable and Trust Fund Agreements for ARS policy concerning these applications.

In addition, the following procedures apply within the Northern Plains Area:

- Complete the ARS-425, Authorization to Apply For and Use Outside Funds, in ARIS.
- Prepare the proposal/competitive grant application package by following the criteria/guidelines issued by the granting organization.
- **At least one week prior to the granting organization's due date for proposals**, forward your proposal package to the Office of the Area Director. The competitive grant proposal package must include the following:
  - a. Cover memo addressed to the Area Director through the RL/LD/CD indicating line management review and approval of the proposal.
  - b. Draft Letter of Intent, budget pages, and any other pertinent information related to the grant proposal.
  - c. The Area Director is the Authorized Designated Agency Representative and is responsible for final approval of the proposal. After the AD signs the proposal it will be returned to the scientist for submission to the granting organization. The research unit is responsible for submitting the appropriate number of copies to the granting organization.

- d. The proposal must be resubmitted to the Area Office for additional review and approval if substantial modifications are made to the project proposal and/or budget after the initial submission to the Area Director.

**5. Letters of Intent and Letters of Support**

- Examples of Letters of Intent and Letters of Support can be found at the Grants and Agreements link on the NPA website at <http://www.ars.usda.gov/npa/grants>
- If a Letter of Support is required for the grant proposal package: e-mail the draft to Marcie Currie-Gross ([marcie.currie-gross@ars.usda.gov](mailto:marcie.currie-gross@ars.usda.gov)) for review, editing, and to expedite the process. The Letter of Support will be signed by the Area Director and returned to the scientist/unit.

**6. Competitive Grant Proposals: Process, Procedures, Examples and Helpful Hints**

- Preparing the grant proposal and budget: Jim Quaratino, Authorized Departmental Officer. (970)492-7029; [jim.quaratino@ars.usda.gov](mailto:jim.quaratino@ars.usda.gov)
- Grants and Agreements link on the NPA website at <http://www.ars.usda.gov/npa/grants> in Sections 3 and 4.

**7. Questions about Historically Black Colleges/Universities, Hispanic Serving Institutions, or Tribal Colleges/Institutes**

- Barbara King, EEO Specialist. (970)492-7053; [barbara.king@ars.usda.gov](mailto:barbara.king@ars.usda.gov)
- Civil Rights/EEO/Diversity link on the NPA website at <http://www.ars.usda.gov/npa/eo>
- See the attachments for list of qualified colleges, universities and institutions.

**8. ARIS assistance, establishing new Source of Funds codes, questions**

- Marcie Currie-Gross, Extramural Agreements Specialist. (970)492-7022; [marcie.currie-gross@ars.usda.gov](mailto:marcie.currie-gross@ars.usda.gov)
- Grants and Agreements link on the NPA website at <http://www.ars.usda.gov/npa/grants> in Sections 3 and 4.

/s/

W.H. Blackburn  
Director  
Northern Plains Area

**Attachments:**

Lists of qualified HBCU, HSI, TCI, and 1890 entities  
ARS-425 template for HBCU, HSI, TCI entries